

OLC

Executive Registry

78-6245/14

OLC # 78-5409

5 October 1978

MEMORANDUM FOR: Deputy Director for Administration
Deputy Director for Operations
Deputy Director for National Foreign Assessment
Deputy Director for Science and Technology
General Counsel
Legislative Counsel
Comptroller
Inspector General
Director, Public Affairs
Director, EEO

FROM: Deputy Director of Central Intelligence

SUBJECT: Follow-Up to Retreat 29-30 September

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As you know, our discussions on CIA Goals and Personnel Management issues resulted in a number of decisions that need follow-up. In addition, our discussions either confirmed or revised previous activities. I have listed these follow-up actions below.

I. Decisions Needing Follow-up:

A. CIA Goals

1. Schedule individual DCI/DDCI meeting with each Directorate and Staff Office to continue discussions in more depth on CIA Goals.

ACTION: First meeting will be with DDS&T on 16 October, 1400-1530. will work with Dirks to provide specific agenda of goals, issues, problems. Other CIA Goals meetings will be scheduled thereafter.

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2. All Five Career Service Heads are to prepare a paper on the amount of time they spend communicating with CIA staff (in management courses, lectures, etc.).

ACTION: Blake/Hetu prepare guidelines defining reporting requirements by 16 October.
Career Service Heads prepare report to DDCI by 30 October.

3. Following additional goals should be added to NFAC Goals list:

- Establish I&W Network
- Review Operations Center role and resources
- Review allocation and utilization of personnel skills within NFAC particularly in OER and ORPA areas.

ACTION: NFAC should add these goals, progress to be discussed at DCI/DDCI-NFAC Goals meeting when scheduled.

B. Personnel Management

4. Each Directorate should review and provide a report on how it balances equities when taking into account the needs and goals of the individual employee and those of the line units when making assignments. Included in the discussion should be a description of how each Career Service provides career counseling to the individual employees.

ACTION: Each Head of Career Service to provide report to DDCI by 15 November.

5. After discussion of the proposal, the DCI decided that a team of outside experts would be hired to thoroughly review the Agency personnel system and prepare recommendations as appropriate for DCI decision.

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ACTION: [] prepare appropriate staff work for DCI/DDCI review, coordinate with DDA and O/Personnel; Consultants to be hired o/a 22 November 1978.

6. DDCI accepted DDA proposal to review and prepare for consideration/decision an updated version of a previous Agency attitudinal survey.

ACTION: DDA prepare proposal for DDCI review by 30 October.

II. Continuing Activities -- Further Action Needed

A. Personnel Management

7. Evaluation/Fitness Report. Continue to redesign form particularly to include EEO, security, ability to write fitness reports and management ability; define the 1-7 scale more precisely.

ACTION: All ²⁰ participants comment to O/Personnel by ~~11~~ October. O/Personnel prepare summary report to DDCI by ~~18~~ October with recommendations for further actions.

8. Panels. Continue to develop panel criteria which addresses composition of panels and size of units handled by panels. Primary purpose is to build more objectivity in panel system; composition should be as broad as possible; number of people reviewed by panels should be larger.

ACTION: ²⁰ Participants comment to O/Personnel by ~~11~~ October. O/Personnel prepare summary report and recommendations for action to DDCI by 18 October 1978.

9. Promotion/Assignment Criteria. Design system to provide greater incentives for lateral assignment of employees, including both rotation and transfers, and incorporate in to panel system.

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ACTION: ²⁰ Participants comment to O/Personnel by 11 October. O/Personnel prepare summary report with recommendations for action by DDCI by 18 October 1978.

10. Agency-Wide Vacancy Notice. Current Agency vacancy announcement system should be reviewed with objective of making it more open and equitable.

ACTION: Blake prepare report on GS-04 to GS-13 movements per month to identify work-load factors. O/Personnel analyze participant reviews of O/Personnel vacancy memorandum and prepare report with recommendations to DDCI by 13 October 1978.

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Frank C. Carlucci

cc: DCI
D/Personnel

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ROUTING AND RECORD SHEET

SUBJECT: (Optional)

FROM: Legislative Counsel
7D45 Headquarters

EXTENSION

NO.

DATE

OLC 78-5409/1 STAT

OCT 20 1978

TO: (Officer designation, room number, and building)

DATE

OFFICER'S
INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. Jim Taylor
E Career Service
4E42 HQS

2.

3. Director of Personnel
5E58 HQS

4.

5.

6.

7.

8.

9.

10.

11.

12.

13.

14.

15.

Attached are OLC's comments as requested in Mr. Carlucci's memo of 5 October 1978 concerning the follow-up to the retreat of 29 and 30 September.

Frederick P. Hitz

cc: AO/DCI

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Doc. 10 OCT 1978

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10 OCT 1978

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TO : Mr. Hitz & [redacted]

DATE OF REQUEST
10 Oct 78

STAT

FROM : ELS

SUSPENSE DATE

SUBJECT: Follow-up to [redacted]

retreat, 29 - 30 September

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NOTES

I prepared this at [redacted] request. Feel free to change it in any way you so desire.

FPH &
2LM's
belly sound.
typical ELS

COORDINATED WITH (list names as well as offices)

| | | |
|------|--------|------|
| NAME | OFFICE | DATE |
| NAME | OFFICE | DATE |
| NAME | OFFICE | DATE |
| NAME | OFFICE | DATE |

ACTION REQUIRED BY XXX FPH

Signature on pink routing sheet

14 August 1978

MEMORANDUM FOR: Director of Personnel

FROM : James Taylor
Chairman, Executive Career Service Board

SUBJECT : Comments on the Personnel Evaluation
Task Force Report

1. (U) In general the members of the Executive Career Service Board are in agreement with the conclusions of the Task Force and its recommendations. They should be commended for a thorough analytical effort.

2. (U) There are, however, a few areas of disagreement with Task Force proposals:

- a. (U) The adoption of a "7-point" scale to evaluate performance of duties or an employee's overall value will not improve very much the ability to objectively record an employee's true contribution to the work of the Agency. It may well make it even more obscure. The consensus seems to be that the more levels the more likely the tendency toward inflated evaluations. A "4-point" scale with sharp, easily defined differences between points would probably be most informative to the ratee and to management, and would be more easily managed; e.g.

1. Superior performance
 2. Proficient performance
 3. Remediable performance
 4. Unsatisfactory performance
- b. (U) There is substantial non-concurrence with the idea of an "interim" written rating of any kind. Perhaps a similar objective could be achieved by requesting employees to indicate whether deficiencies had been discussed with him or her prior to the completion of the performance appraisal report.
- c. (U) Both the Career Service and the Inspector General firmly believe that an employee should be apprised of all rankings, ratings, documents, etc. which are used to determine placement on promotion ranking lists and on personnel assignment selection lists. Panels should be proscribed from using verbally transmitted opinions from whatever source.
- d. (U) The Career Service believes that the more that can be provided for through the format (form) of the report and the less through reliance on tangential written instructions, the more likelihood that informative reports will be prepared. We agree that a narrative should accompany the rating of each duty as well as an overall narrative summary.
- e. (U) The ability of a rater to evaluate and to express those evaluations in a clear, objective, and analytical fashion has, of course, a serious affect on an understanding of the ratee's evaluations. Whether the recording of either a ratee or reviewer's opinion of the rater's ability to rate and to express his ratings on a ratee's performance evaluation form contributes much to an understanding of a ratee's performance is questionable. A supervisor who has demonstrated that he cannot prepare a constructive rational evaluation of a subordinate's performance should be prohibited from evaluating anyone. It is evaluation panels who should report to appropriate management those supervisors whose reports contribute little to the evaluation process.

- in particular,*
- f. (U) *1/A* requirement to evaluate all employees on a set of standard or general factors should perhaps be considered, i.e. all employees could be evaluated on attitude, punctuality, judgement, effectiveness in interpersonal relationships, self-expression orally or in writing, mobility, security consciousness, willingness to accept responsibility, creativity, and initiative, versatility, evidence of self-improvement, etc. (See Attachment B.)
- g. (U) Finally, a specific section of the form should be provided to rate every supervisor, manager, and executive on his equal employment opportunity performance with an explanation of why that evaluation (either good, bad or indifferent) was arrived at.



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James A. Taylor

Attachments:

- A. IG Comments
- B. Sample ECS Individual Evaluation Rating

10 AUG 1978

OLC 78-2972

MEMORANDUM FOR: Personnel Officer, DCI

SUBJECT : OLC Responses to the Agency Personnel
Evaluation Task Force Report

1. The following paragraphs contain our recommendations and comments concerning the Performance Evaluation Task Force report and are being sent to you per your request. These comments basically reflect the views of this office gained through our collective experience with previous fitness reports.

2. The Task Force recommends changing the performance reports scale from five to seven gradations. Basically we believe this will not solve the problem of having 80 percent of all personnel graded on the high side. Depending on where the Agency or various parts of the Agency feel the line demarking adequate performance is, having more gradations will simply mean that 80 percent of the personnel instead of being in the top two gradations will now be in the top three or four. We would suggest, as an alternative, consideration of having only three gradations, particularly for the overall evaluation. Each person would be rated as either proficient, outstanding or inadequate, and we believe it would be desirable to have those rated inadequate or outstanding receive special attention, either to bring them up to the proficient standard if inadequate or to make additional use of their talents if rated outstanding. We assume there would be considerable latitude for describing and grading the individual aspects of performance.

3. The Task Force recommends that the evaluations contain a section whereby the reviewer would rate the rater. We think this is overkill and would in effect be replacing the annual evaluation which each rater receives. As an alternative, we would suggest that there be a section in the paper which would require the ratee to rate certain standard attributes of the rater. This would result in the evaluation containing a mandatory indication by the ratee as to whether the rating was fair, equitable, etc. The Task Force believes that, by amending the evaluation form, it can require discussion between the rater and the ratee. We do not believe this is realistic and would suggest that strong supervisor training in this regard, as is suggested later in the Task Force report, would do more to encourage rater/ratee discussion than anything else.

4. The Task Force report recommends expanding justifications and ratings of specific duties. We believe this is a good idea but would suggest that consideration be given to some attempt to standardize in some fashion specific duties. The fact that duties now reflect actual work duties very often leaves the comparison of people by evaluation points in a quandary. It is difficult at best to rate individuals against each other when their own rating marks reflect different duties. We would suggest that some attempt be made to rate on a generic set of factors such as skill; attitude, attendance, etc.

5. The Task Force recommends that there be an interim rating report on a regular periodic basis. We believe this is an additional, unnecessary procedure. As an alternative, we would suggest that supervisors be trained and encouraged to comment on good and bad performance each time it occurs. In this way, a running record of the value of each employee's performance can be documented. We believe this is a much better approach than to merely institute a regular semi-annual interim performance report.

6. We have no objection or comment to make to any of the other recommendations of the Task Force.



Deputy Legislative Counsel

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INSPECTOR GENERAL

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8-1361

19 July 1978

MEMORANDUM FOR: Mr. James Taylor
Secretary, Executive Advisory Group

FROM: John H. Waller
Inspector General

SUBJECT: Report of the Performance Evaluation
Task Force

REFERENCE: Final Report of the Performance Evaluation
Task Force

1. I have the following comments to make on reference report:

2. In recommendation (9) listed on page 4 under II Format, it states:

"Proscribe panels from using information not known to the ratee."

I believe that this recommendation should acknowledge the desirability of promotion panels having the benefit of component (Division or Office) Personnel Management Committee rankings of employees, but stipulate that the employees affected also know where they stand in these rankings.

3. As the system now works in the Directorate of Operations, for example, the panels have the benefit of Divisional rankings -- not known to employees -- but it has been customary for the panels not to see these rankings until they have arrived at tentative rankings based only on fitness reports. This, I believe, is a mistake.

4. It is my opinion that the most valid ranking judgments of personnel within a Division or Office are those made by the Division or Office itself. It should be the panel's task to test these Divisional rankings against the paper record and then integrate them into one overall ranking list, including

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the personnel from all Divisions. To rely on fitness reports alone -- even assuming the newly recommended format and method will represent a vast improvement over the old -- is to increase the chances of misjudgements and inequities. I believe, moreover, that panels should have the benefit of Divisional or Office rankings before beginning their own integrated ranking process. This conclusion is admittedly based on an assumption that any fitness report system, however good at the outset, invariably deteriorates because of an inevitable upward creep of grading. It also suffers from certain natural problems, not the least of which is the innate cowardice of many supervisors who cannot bear to anger their subordinates or cause frictions by candid gradings. However regrettable, this is a human trait which I do not believe can be eradicated. Many brave efforts have been made in the past by this and other agencies to no avail. Division PMCs, however, know their people very well, can usually reach easy consensus and avoid the "supervisor cowardice" syndrome by group action instead of individual action in a grading process.

5. Of course employees should know all factors which go into their grading by a panel. Thus, I believe that they should know where they stand numerically in the Division or Office number grading before this listing goes forward to the panel. This being the case, my suggestion per above is not inconsistent with recommendation (9).

6. Another comment which I have pertains to recommendation II - C "Performance Progress Review." It is simply unnecessarily burdensome to require an interim report at mid-point between yearly evaluations.

7. I would suggest in a more general vein that the Performance Evaluation Report:

a. Document the employee's performance during the rating period, i.e., what did he do and how well did he do it?

b. Record supervisory judgement on the employee's capacity and potential for other assignments, both lateral and upward.

c. Rate the individual in comparison with his peers, both in terms of his present job and his potential for other positions.

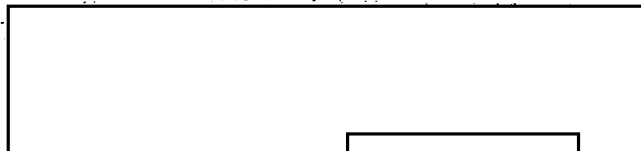
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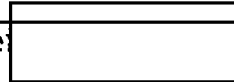
d. Recommend career development actions, training, other assignments, etc.

The Foreign Service Officer Evaluation Report at Tab L seems better suited for this purpose than the Agency's Fitness Report form, even as modified by the Task Force's recommendations.

8. The proposal on page 2 of Tab B to change the existing five-point adjectival scale to a seven-point numeric scale is not clear. It does not define what the seven points would mean. Is it simply a relative ranking curve? The five-point scale in Tab I (page 13) or the eight or nine-point scales in the Foreign Service form, Tab L (pages 3 and 5), are more meaningful.



John H. Waller



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FPH/LLM
Date/Hour due LLM/PHW:

18 Oct 8:00

Date/Hour due Ben Evans:

18 Oct 11:00

Date/Hour Received in OLC:

9:30 6 Oct

Date/Hour Carried to Registry

9:30 6 Oct

Staff Assigned to:

Mr. Hitz

Date/Hour Carried to Staff:

6 Oct

Officer Assigned to: